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PTO/SB/05 (1/98)
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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.63(b))	Attorney Docket No.	2915.1US (96-149.01)
	First Inventor or Application Identifier	Pan, et al.
	Title	Technique for Elimination of Pitting on Silicon Substrate During Gate Stack Etch
	Express Mail Label No.	EM548957369US

APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231
1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing) 2. <input checked="" type="checkbox"/> Specification [Total Pages 16] (preferred arrangement set forth below) - Descriptive title of the invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the invention - Brief Summary of the invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 14] 4. Oath or Declaration [Total Pages 2] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) (Note Box 8 below) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). 5. <input type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. 17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment: <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) Prior application information: Examiner <u>H. Nguyen</u> of prior application No: <u>08 / 682,935</u> Group / Art Unit: <u>2812</u>	6. <input type="checkbox"/> Microfiche Computer Program (Appendix) 7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies ACCOMPANYING APPLICATION PARTS 8. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 9. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement (when there is an assignee) <input type="checkbox"/> Power of Attorney 10. <input type="checkbox"/> English Translation Document (if applicable) 11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations 12. <input checked="" type="checkbox"/> Preliminary Amendment 13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 14. <input type="checkbox"/> Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired (PTO/SB/09-12) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Other: * A new statement is required to be entitled to pay small entity fees, except where one has been filed in a prior application and is being relied upon.

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FACSIMILE TRANSMITTAL SHEET

Total number of pages including cover letter: 10

To: **USPTO**
Attn: Examiner Hung K. Vu
Washington, D.C.

Date: **May 16, 2000**

Facsimile No.: **1-703-308-7722 or
1-703-308-7724**

Telephone No.: **1-703-308-4079**

From: **Devin R. Jensen**

Your Reference: **Serial No. 09/073,494**

Client/matter number: **2269-2915.1US (96-149.1)**

Message/Comments:

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PATENT
Attorney Docket No. 2915.1US(96-149.1)

I hereby certify that this transmittal is being transmitted by facsimile to the Assistant Commissioner for Patents (Examiner Hung K. Vu)
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Lynette Eliason
Typed name of person mailing transmittal

May 16, 2000
Date of Deposit

Lynette Eliason
Signature of person mailing transmittal

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner: H. Vu

Group Art Unit No.: 2811

Applicant(s): Pan et al.

Filing date: May 6, 1998

Serial No.: 09/073,494

For (title): **TECHNIQUE FOR ELIMINATION OF PITTING ON
SILICON SUBSTRATE DURING GATE STACK ETCH**

COMMUNICATION TRANSMITTAL

Box AF
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

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MAY 16 2000

TECHNOLOGY CENTER 2800

Enclosed for filing in connection with the above-identified patent application, and submitted in the order listed, are:

- ☐ Postcard receipt acknowledgment (attached to the front of this transmittal).
- ☐ Duplicate copy of this transmittal sheet in the event that additional filing fees are required under 37 C.F.R. § 1.16. Any such fees may be charged to deposit account no. 20-1469.
- ☐ Check no. in the amount of \$ for the presentation of extra claims as calculated in the remarks section below.
- ☐ Preliminary amendment.
- ☐ Amendment or other communication in response to the non-final office action mailed.
- ☒ Amendment or other communication under 37 C.F.R. § 1.116 in response to the final office action mailed 03/14/00.
- ☐ Petition for Extension of Time in duplicate with check no. in the amount of \$.
- ☐ Verified statement(s) to establish small entity status under 37 C.F.R. § 1.9 and 37 C.F.R. § 1.27 signed by (or on behalf of).
- ☐ Information disclosure statement and Information disclosure citation form PTO-1449 with copies of listed documents.

Remarks:

- ☐ An amendment has been made involving one or more claims in the application. The calculation to determine whether any additional fee is due is presented below.

	1	2	3	EXTRA
Total claims	-	=	x 78.00 =	
Indep. claims	-	=	x 78.00 =	
First presentation of a multiple dep. claim (+260.00)				
SUBTOTAL				
Reduction for small entity - 30% of subtotal*				
TOTAL ADDITIONAL FEE (subtotal minus any reduction)				

*Verified statement(s) must be attached to support this reduction if small entity status has not been previously established.

- 1 Claims remaining after amendment.
- 2 Highest number of claims previously paid for. Not less than 20 for total claims and 3 for independent claims.
- 3 Difference between claims remaining and highest number previously paid for. If less than zero, enter "0."

- ☒ The commissioner is authorized to charge any additional fees required but not submitted with any document or request requiring fee payment under 37 C.F.R. §§ 1.16 and 1.17 to deposit account no. 20-1469 during the entire pendency of this application.

Respectfully submitted,

Devlin R. Jensen

Devlin R. Jensen
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Date: May 16, 2000
Enclosures: As identified above

PATENT**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****In re Application of:**

Pan et al.

Serial No.: 09/073,494**Filed:** May 6, 1998**For:** TECHNIQUE FOR ELIMINATION OF
PITTING ON SILICON SUBSTRATE
DURING GATE STACK ETCH**Examiner:** H. Vu**Group Art Unit:** 2811**Attorney Docket No.:** 2915.IUS (96-149.1)**FAX COPY RECEIVED****MAY 16 2000****TECHNOLOGY CENTER 2800****CERTIFICATE OF TRANSMISSION**

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Signature of registered practitioner or other person having reasonable basis to expect transmission to occur on date shown pursuant to 37 C.F.R. § 1.8(a)(1)(II)

Typed/printed name of person whose signature is contained above

AMENDMENT UNDER 37 C.F.R. §1.116

Box AF

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The following amendments and remarks are filed in response to the Examiner's remarks in the Final Office Action mailed March 14, 2000, the three-month shortened statutory period for response to which expires on June 14, 2000.

IN THE SPECIFICATIONPage 2, before "BACKGROUND OF THE INVENTION" please add - - **CROSS****REFERENCE TO RELATED APPLICATIONS**

This application is a divisional of application

Serial No. 08/682,935, filed July 16, 1996, - -